

Augusta University Policy Library

Policy on Policies

Policy Manager: Office of Legal Affairs

POLICY STATEMENT

This policy addresses how policies are formally approved, issued, and maintained in a consistent format in an official central policy library. Individuals engaged in developing and maintaining University policies must follow the requirements outlined in this document for drafting, approving, revising, and withdrawing University policies. University policies must be thoroughly reviewed, maintained, and made available to the University community to promote awareness, practicality, compliance, and accountability.

AFFECTED STAKEHOLDERS

Indicate all entities and persons within the Enterprise that are affected by this policy:

- Alumni Faculty Graduate Students Health Professional Students
 Staff Undergraduate Students Vendors/Contractors Visitors
 Other:

DEFINITIONS

- **Executive Sponsor:** The senior leader accountable for the substance of policy documents, namely the provisions and requirements of, and compliance with policies under his or her area of responsibility. The senior leader should be a Vice President, or any leader who reports to the President/CEO or an Executive Vice President.
- **Stakeholder:** Those that will be affected by the provisions established in a policy.
- **Policy Manager:** Accepts responsibility for following a policy through process and acts as point of contact for questions; and accepts responsibility for requests for actions regarding the policy
- **Major revisions:** Any change in policy impacting the scope and or effect on stakeholders of the entity.
- **Review Groups:** Review will be determined based on the content of the policy under consideration. Policies may be reviewed by a Review Group which could include:
 - Augusta University Faculty Senate (AUFS)
 - President's Executive Cabinet (PEC)
 - President's Full Cabinet (PFC)
 - Provost's Operations Management Team (POMT)
 - Provost's Cabinet (PC)
 - Deans Council (DC)

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Executive Sponsor: VP and General Counsel, Office of Legal Affairs

Next Review: 5/2027

- Dean's Cabinet
 - AUFS Committees
 - A Specific College (or Colleges) within the University
 - A specific Division or Unit (or Units) within the University
- **Policy Advisory Group (PAG):** The PAG will be chaired by the University General Counsel or his/her designee, and shall be comprised of representatives from each of the following Divisions or Units: Academic Affairs, AUFS, Operations, Finance, Human Resources, Legal Affairs, Compliance, Research, and Student Affairs, as well as two (2) at-large members from the University community who would bring experience, judgment, writing skills, and are familiar with the University mission and its functions. Each Divisions or Unit will develop its own method of selecting or designating its representative to the PAG, and each representative shall be approved by the Division or Unit leadership. The PAG shall meet at regular intervals as determined by the Chair, and shall review all draft policies that are presented in order to advise which Review Groups must be consulted, and shall discuss such other policy matters as may be placed on the agenda. The PAG agenda shall be determined by University General Counsel, with input from members of the PAG, Policy Managers, and any other member of the University community with an interest in a policy. The PAG, either by consensus or by majority vote, shall make the determination which Review Groups will be required for review of draft policies submitted by a Policy Manager and/or Unit Leadership. The Policy Manager or Unit Leadership may elect to solicit input from additional Review Groups at its discretion, but such additional review will not be required under this Policy.

PROCESS & PROCEDURES

1. Development

Any individual or unit may identify the need for a new policy at any time. The Legal Office, Compliance, and HR may also identify the need for a new policy and recommend that a unit prepare a draft of such policy. Proposals for new policies and major policy revisions must be presented to respective unit leadership for review and consideration before proceeding further. Upon approval of unit leadership, a proposal for a new policy must first be presented to the Office of Legal Affairs (OLA) and the Office of Audit, Compliance and Enterprise Risk Management (ACERM) for review and discussion. OLA and ACERM will offer to assist in the drafting of a new policy if requested, and the policy proposal is approved by unit leadership. OLA should make an initial determination whether the policy proposal has been properly vetted, and will work with the Policy Manager to ensure the proper policy template has been utilized. OLA and ACERM may offer substantive suggestions to the Policy Manager at any time in the process.

The Executive Sponsor or Policy Manager will apprise OLA of his/her sponsorship of a proposed policy. The Policy Manager will submit a standardized policy document in draft form of the proposed policy to OLA, along with the list of required Review Groups. OLA will work with the Policy Manager to make any necessary changes to the draft prior to its submission to the PAG.

OLA may also suggest that the Policy Manager consult with various Review Groups for input prior to the draft policy being submitted to the PAG.

2. **Use of Policy Review Groups and the PAG for University Approval of Policies**

With the responsible executive's approval, and after any suggested changes from OLA, the draft policy document will be distributed to PAG to identify the Review Groups that should be consulted for their consideration. After PAG input, the Policy Manager will be responsible for consulting with the Review Groups on the draft policy within a reasonable period of time, normally within thirty (30) days unless the period runs over a holiday or the summer break in which case additional time may be necessary. If there are substantive changes/comments made to the policy following discussion with the Review Group(s), the Policy Manager should discuss the amended policy with the responsible Executive Sponsor for review and change as necessary. If changes are made, the policy is re-vetted to the same Review Groups within a shortened review time frame, normally to be within fifteen (15) days if possible, and then brought back to the PAG for confirmation that the process has been followed. The AUFS representative to the PAG may request review of any draft policy by AUFS, which shall then require AUFS review as described below.

After the review process is complete, the policy will be brought back to the PAG for confirmation that the Review Groups, and where applicable the AUFS, have completed their review and comment. Upon confirmation by the PAG, the draft policy will be submitted to the OLA for final legal review and approval.

After the review process is complete, and upon OLA approval, the policy will be forwarded to the Provost and the President for final approval as set forth below in Section 3.

Faculty Review of Policies:

Many policies benefit from faculty feedback. Certain policies will require University Senate or faculty review. Generally, these fall within the categories related to curriculum, student affairs, and faculty affairs. The AUFS representative to the PAG may request any policy be submitted for review by the AUFS, but should exercise discretion in selecting those policies that would benefit from AUFS input or review. The Academic Affairs representative to the PAG shall also provide substantive input on any policy that impacts faculty affairs or the curriculum, and may also recommend that any policy be submitted for AUFS review.

The review period for policies by the AUFS shall normally be two (2) meetings of the AUFS wherever possible, and should normally take no longer than ninety (90) days wherever possible. The AUFS (or the appropriate Faculty Group) shall determine the procedure for faculty review and comment on draft policies, and shall normally complete that effort within two (2) AUFS meetings or a ninety (90)-day time period wherever possible. If there are substantive requested changes or comments made to the policy as a result of AUFS input, then the policy is returned to the Policy Manager to review and make changes as necessary. If changes are made to the policy that are consistent with the AUFS recommendations the policy is not required to be reconsidered

by the AUFS. If the AUFS changes are not made to the policy that will be reported to the AUFS (or Faculty Group) at the next scheduled meeting.

After the AUFS review period, the policy will again be distributed to the PAG for confirmation that the process has been properly completed, and then forwarded to the OLA for final legal review and approval.

3. **Approval of EVP, Provost, and President**

The respective EVP(s) will receive a final document in official format from the OLA for review and approval prior to the submission to the Provost and President. Upon approval by the EVP, followed by approval by the Provost and President, the policy will be considered in effect as of the date of the President's signature.

4. **Standard Communication Plan to University**

The OLA is responsible for ensuring that any new policy and/or major revision of an existing policy is communicated to the University, collaborating with the Office of Communications and Marketing. The responsible office will deliver any additional communication or training, and will assist the responsible executive to establish any support systems necessary to achieve ongoing compliance. Currently, newly approved policies or those which have undergone major revisions shall be communicated via JAGWIRE and on the Policy Management website at <https://www.augusta.edu/services/legal/policyinfo>. A Policy Manager or Executive Sponsor has the option to use additional means of communication for new policies if they believe further communication is warranted or useful. Any additional means of communication shall be reviewed by both OLA and ACERM prior to issuance to ensure accuracy, clarity, and consistency.

5. **Compliance**

The responsible office will assist with the establishment of any business practices outlined in the policy's procedures, or which may be necessary to support implementation of the policy. Human Resources, Operations, Finance, ACERM, OLA, Academic Affairs, Student Affairs, Research, and other offices or departments will also assist in the development and implementation of any procedures necessary to support future compliance with a new policy. ACERM and OLA will review compliance with policies on a regular and periodic basis to assess University operations. In addition, Communications and Marketing will assist with communicating and training the University community in the policies to facilitate compliance.

6. **Revisions**

Minor changes to existing policies may be proposed to the Policy Manager or the Executive Sponsor for that policy. Minor Changes should be limited to corrections for typos, name changes, references to outdated or obsolete offices or web links, and the like. The Policy Manager or the Executive Sponsor will communicate those changes to OLA with a request for a Minor Change. Any request for a Minor Change must be reviewed first by the OLA, and then by the PAG. If the OLA and PAG agree that the proposed change is a Minor Change and does not require review

by Review Group(s), the OLA will submit the Minor Change directly to the Provost and President for their approval. The Minor Change to a policy will only be considered final after approval by the President.

7. **Major Changes to Existing Policies**

Major changes to existing policies will follow the same procedure as that of a new policy proposal.

8. **Review**

Policies should normally be reviewed at a minimum of once every five (5) years, subject with a staggered review for all policies in the University Policy Library to be completed if possible, during a five (5) year period. The review will include a determination of the ongoing relevance of the policy and if any modifications to the policy are required. Redundant or unnecessary policies should be decommissioned and removed from the Policy Library.

9. **Decommissioning of a Policy**

Policies recommended for decommissioning must undergo the same process as a new policy.

REFERENCES & SUPPORTING DOCUMENTS

Policy Routing Workflow

- Policy Template (attached)

RELATED POLICIES

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APPROVED BY:

Executive Vice President for Academic Affairs and Provost, Augusta University

Date: 5/20/2022

President, Augusta University

Date: 5/20/2022

Attachment

Augusta University Policy Library

Document Title

Policy Manager:

POLICY STATEMENT

Generally, two to four sentences, the "Policy Statement" states the policy's intent, why the policy must exist, who must follow the policy, when the policy applies, and any mandated actions or constraints. It doesn't describe procedures.

AFFECTED STAKEHOLDERS

Indicate all entities and persons within the Enterprise that are affected by this policy:

- Alumni Faculty Graduate Students Health Professional Students
 Staff Undergraduate Students Vendors/Contractors Visitors
 Other:

DEFINITIONS

Optional (only if needed). Define any unfamiliar, technical, or terms that have specialized meaning in this document. (Try to keep definitions the same as in other policies.) Please list terms alphabetically.

PROCESS & PROCEDURES

Describe procedures for compliance that outline how the policy's requirements will be met or provide web address where the procedures are located. Use subheadings to categorize procedures & indicate responsible party for each procedure.

REFERENCES & SUPPORTING DOCUMENTS

Identify the documents which must be used to comply with the policy; explain the purpose of each document; attach or provide a hypertext link to each document. Attach or provide hypertext link to any relevant references.

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Executive Sponsor:

Next Review:

RELATED POLICIES

List all of the policies that may relate to this policy. Provide hyperlinks to each policy.

APPROVED BY:

Name	Date
Executive Vice President for Academic Affairs and Provost, Augusta University	

Name	Date
President, Augusta University	